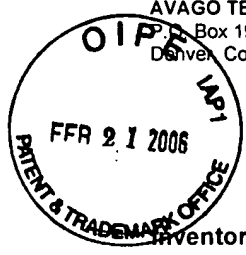


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AVAGO TECHNOLOGIES, LTD.  
P.O. Box 1920  
Denver, Colorado 80201-1920

ATTORNEY DOCKET NO. 10030782-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Stefano Therisad

Serial No.: 10/674,583

Examiner: TBA

Filing Date: September 29, 2003

Group Art Unit: 2631

Title: Self-Characterizing And Self-Programming Optical Transmitter

COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- (a) ☒ Under 37 CFR 1.97(b).  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first Office action on the merits; whichever occurs last).
- (b) ☐ Under 37 CFR 1.97(c) together with **either** a:  
☐ Statement under CFR 1.97(e), or  
☐ \$180.00 fee under 37 CFR 1.17(p).  
(After the CFR 1.97(b) time period, but before a final action or notice of allowance, whichever occurs first).
- (c) ☐ Under 37 CFR 1.97(d) together with: a  
Statement under 37 CFR 1.97(e), **and**  
\$180.00 fee as set forth in 37 CFR 1.17(p).  
(After a final action or notice of allowance, whichever occurs first, but before payment of the issue fee).

☐ STATEMENT UNDER 37 CFR 1.97(e)

The undersigned certifies that:

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, **or**
- ☐ No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☐ PRIOR APPLICATIONS

References identified with an asterisk (\*) in the enclosed PTO Form 1449, were disclosed in prior Patent Application No. \_\_\_\_\_, filed \_\_\_\_\_, now U.S. Patent No. \_\_\_\_\_, and, as such, copies thereof are not included pursuant to the provisions of 37 CFR 1.98(d).

☐ FOREIGN LANGUAGE DOCUMENTS

A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO form 1449, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

☐ **FEE AUTHORIZATION**

Please charge to Deposit Account **50-3718** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **50-3718** pursuant to 37 CFR 1.25.

I hereby certify that this correspondence is being deposited with the United States Postal Service as:

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**OR**

☐ I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Date of Facsimile:

Typed Name: Marianne Boland

Signature: Marianne Boland

Respectfully submitted,

Stefano Therisad

By

David Rodack  
Attorney/Agent for Applicant(s)

Reg. No. 47,034

Date: 2-17-06

Telephone No. 770-933-9500

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

|       |   |    |   |
|-------|---|----|---|
| Sheet | 1 | of | 2 |
|-------|---|----|---|

**Complete if Known**

|                        |            |
|------------------------|------------|
| Application Number     | 10/674,583 |
| Filing Date            | 09/29/03   |
| First Named Inventor   | Therisad   |
| Art Unit               | 2631       |
| Examiner Name          | TBA        |
| Attorney Docket Number | 10030782-1 |

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS |                       |   |                  |   |   |                |
|--------------------------|-----------------------|---|------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T <sup>9</sup> |
|                          |                       | Country Code <sup>3</sup> *Number <sup>4</sup> *Kind Code <sup>5</sup> (if known) | MM-DD-YYYY       |   |   |                |
|                          | 1                     | EP 0548111 B1   | 09-17-1997       | FINISAR CORP                                    |   | ✓              |
|                          | 2                     | WO 03/069378 A2   | 08-21-2003       | FINISAR CORP                                    |   | ✓              |
|                          |                       |   |                  |   |   |                |
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|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete if Known**

|                    |            |
|--------------------|------------|
| Application Number | 10/674,583 |
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|                    |          |
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| <b>Filing Date</b> | 09/29/03 |
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| First Named Inventor | Therisad |
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| Art Unit | 2631 |
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| Examiner Name | TBA |
|---------------|-----|

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|------------------------|------------|
| Attorney Docket Number | 10030782-1 |
|------------------------|------------|

## NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
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 $T^2$ 

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German Office Action dated November 2, 2005.

✓

Examiner  
SignatureDate  
Considered

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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